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ABSTRACT

This document reports the results of a special study of the role and interagency relationships of State education agencies in comprehensive Statewide planning. The report deals first with the scope, nature, and organization of State planning; it then provides some examples of planning relationships in New York State and in the Commonwealth of Pennsylvania and concludes with a discussion of emerging needs and alternatives. (Author)

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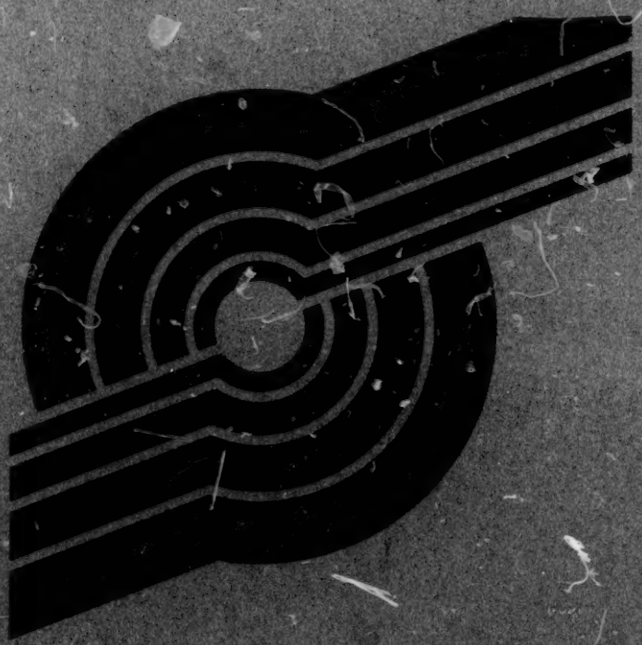
ALTERNATIVE ROLES AND INTERAGENCY RELATIONSHIPS OF STATE EDUCATION AGENCIES IN COMPREHENSIVE STATEWIDE PLANNING

Report of a Special Study
Sponsored by the Project

Improving State Leadership in Education



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Introduction

Since World War II, planning has become an essential part of governmental administration in the underdeveloped and developed countries of the world. The emerging nations are utilizing planning for the purpose of marshaling their resources for the development of a viable national life. The tendency is to concentrate on economic and educational planning with strong emphasis on manpower training to overcome deficiencies in natural resources and develop sufficient cadres of educated people to maximize the resources which they do have.

In the developed nations, particularly in the West, planning is being utilized to solve an essentially different set of problems. These include the alleviation of poverty pockets, improvement in the viability of local economies, delivery of uniform health services, improvement of housing, and the more uniform distribution of economic goods and services to all sectors of the society. While this broad spread of objectives implies the need for planning in many aspects from economic develcpment to cultural improvement, one basic planning area is obviously education.

In the United States the providing of education is the responsibility of each state. The governance and administration of eduation and the policies which obtain are developed by the state for its inhabitants. Likewise, planning in each state is applicable to that state's problems and review of its own resources. Thus, while a catalogue of problems across several states might be quite similar, the planning for their solution and even the process of planning itself will differ from state to state. It is hoped, however, that with the commonality of educational problems, the procedures and practices of several states reported here may be of use in a number of other states.

This report is concerned with the role and interagency relationships of state education agencies in comprehensive statewide planning. It introduces the scope, nature and organization of state planning. Following that is a brief discussion of planning in state education agencies and some examples of relationships for planning gathered by inquiry and interview. Emerging needs and alternatives are given in a final section.

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Section One

STATE PLANNING

There is apparently no firm agreement on a definition of planning. Most generally, it is a process concerned with the anticipation of and preparation for change. Such a statement, however, is not very usable by administrative organizations which must carry out such a process. There are various schemes and statements which specify the nature of planning and approaches to the process of planning. Sorting through a number of these may be of help in developing a rationale for planning in education, social welfare, economics or any other area of interest. However, to encompass a planning activity which involves many facets of government endeavor, it seems appropriate to utilize a definition which is applicable to administrative organizations which characterize government. Dror's statement is fairly definitive in this regard: "Planning is the process of preparing a set of decisions for action in the future and directed at achieving goals by optimal means."[1]*

SCOPE AND DEFINITIONS

Planning is decision-making as defined by Dror but she specifies that it is sets of decisions that are made; that is, a matrix of interdependent, and sequential series of related decisions. Such a definition is valuable when thinking about comprehensive state planning which must take into account the interrelationships between social, economic and environmental resources. The implied sequential aspect indicates that these interrelationships continue and change over time.

Educational planning is the *process of preparing sets of decisions* for future action in education. However, what is regarded as education needs to be delineated before these sets of decisions can be made.[2] Answers to the question, "What functions do we want education to perform?", provides the key. Only when this question is answered--that is, choices made--can the work of planning begin. As Michael has said: "Any group concerned with education or having responsibility for it must be clear to where it is going and why."[3] Michael does not see the need for a single consensus and believes that multiple consensus with several definitions of function and purpose, clearly and sharply held by different groups, would be beneficial.

> Educational planning is a cohesive force that coordinates and directs many different components of an educational system and insures that widely accepted, long-term goals...are approached more objectively. It implies a realistic appraisal of the (state's) financial means, its human resources, and institutional structures and other factors bearing upon the success of an educational plan.[4]

Educational planning, then, can become a frame of reference for an interdisciplinary approach to education. In this manner, it can be more readily and logically fitted into overall planning and development within a state.

Planning, however, is an instrument to an end and not an end in itself. Coordination in the utilization of resources as well as alternatives in both

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* Footnote references appear at end of report.

the use of resources and processes by which the resources are brought to bear on problems are the objectives of planning. The ends of planning, which are political, social and cultural as well as humanistic, are not developed by the planner. They are given to him by statesmen and politicians.

Planning, then, is an administrative function and is distinguishable from policy-making. It enhances effective administration and functions as part of the total administrative arrangement. Planning can be utilized as part of the policy-making process in that it can offer consistency control in policy formulation. There is little doubt that planning in this way is utilized to strengthen political leadership by providing rationales to support political decisions and direction. At times, planning may be used to overcome resistance to policy change within an administrative organization.[5] This latter view of planning is sometimes called an "irritant function" of planning.

This view of the planning function can obviously lead to some difficulties. As Michael notes: "A political process of reconciling differences between priorities and plans results in compromises which emasculate the planning."[6] He attributes this to resistance to planning, particularly by those with vested interests in the *status quo*. Problems of compromise and emasculated plans arise not only out of vested interests being threatened. The lack of clear policy definition can also be a cause. The failure of planners to separate policy from planning and, indeed, planning from implementation, can also be contributing factors.

Section Two

PLANNING: POLICY AND POLITICS

Planning in the United States has gone through approximately four relatively distinct eras. At no time has the idea of planning been well received in this country by the general public partly because governments and planners have not made clear the distinction between a society which plans and a planned society. As planning has moved from a base in the conservation movement in the early 1900's toward broad social planning in the 1960's, it has become more associated with strong, centralized government. Bona fide local and regional planning, with or without coordination through a central state planning agency, has never received appropriate emphasis.

The Great Depression of the 1930's provided a good deal of impetus for planning. This period began with the belief that the depression was purely economic and that planned public works, among other economic ventures by the government, would restore the nation's solvency. It was in this era that planning became, by and large, physical planning concerned with the construction of buildings, transportation systems, and the cataloguing of physical resources. While some efforts were made to alleviate social ills through improved education and training and the delivery of health services, this aspect was underplayed to the physical. In fact, the efforts in this direction were not sufficient to prepare planning agencies and, in turn, their state governments, for the vast social changes which would come after World War II. Following the war, state planning agencies became very much centralized and continued to work in the area which they knew best--economic and industrial development from a physical planning point of view.[7]

The period of the 1960's was one of great change in state planning. During this decade there is a definite trend toward comprehensive statewide planning to include both social and economic development work. There was also a dramatic shift of the planning organization from various places in state government into or near the office of the governor. Three major reasons for these changes can be given:

Growing gubernatorial interest in strong planning and budgeting as management tools;

Improvement in the techniques of economic development planning, highlighting the need for more policy formulation and implementation; and

Proliferation and expansion of federal aids which, while increasing program funds, have shown a need for greater coordination and policy direction.

The following table demonstrates the shifts which have taken place.

ORGANIZATIONAL RESPONSIBILITY IN STATES
FOR COMPREHENSIVE STATEWIDE PLANNING IN 1960 AND 1968[8]
(Includes Puerto Rico)

	Number of States	
	1960	January 1, 1968
Planning and economic development in the same agency	11	13
Independent planning department	6	6
Planning in department of finance of administration	2	4
Planning as staff unit in Governor's office	1	22
Statewide planning as interdepartmental committee	--	2
No formal statewide planning program	31	4
	51	51

As Hartley has pointed out, the three major responsibilities in executive control are program leadership, planning and budget control. Efforts to improve state government over the years have generally insisted on strengthening the hand of the state's chief executive, and governors have slowly gained

recognition as program leaders in their respective states. To this, the budgetary functions were added during the years of the depression and following World War II. The third major tool, planning, has now been added in most of the 50 states.

In part, the impetus for moving planning functions into the office of the governor has been the overall need for coordination of program, budget and planning. With the availability of new analytical tools, improved management control and coordination of all phases of state programs became possible. Systems approaches as in planning, programing, budgeting systems (PPBS) and management information systems (MIS) are major examples. In PPBS, the advantages are in the relating of planned expenditures to policies. Given the multi-year dimension, which is part of PPBS, planning becomes more necessary. At the same time, with planning tied to both policy and proposed expenditures, it becomes more realistic and meaningful for implementation. Management information systems provides means for collecting and analyzing data to aid in policy formulation and control and are an obvious complement to PPBS systems.[9]

State coordination in comprehensive planning has been made possible by the same developments in management methods such as those mentioned. As each agency in state government has sought to improve its own operations, it has taken up these kinds of tools. Fairly comparable units of administration, research and planning have been developed within the several agencies. This has made it easier for an interested governor to expect his own planning staff to reach out and begin to coordinate the several departments.

In addition, more than 100 federal programs have a state planning component as a prerequisite to receiving federal aid. Under this requirement, the state must submit a statewide plan as a framework for the administration of the federal funds. As is well known, many of these federal programs cut across the usual lines of state government responsibility and require action by several state agencies to be conducted. In a number of states, the logical development has been to make the state planning agency the coordinating organization of these planning requirements.[10]

As a result, there is a definite trend away from production of state plans *per se*. Planning agencies gravitating toward the center of government increasingly work to influence the policy and decision makers. This kind of action is a coordinative function in administration and largely the provision of services rather than the writing of reports. This kind of work involves aiding individual agencies to develop their own plans, centralizing data and information into banks, examining various agency plans for fit with overall state policy and conducting periodic evaluation of all efforts.[11]

In summary, state planning, or the development of the sets of decisions for influencing future action, has developed comprehensive and coordinative dimensions. Planning has moved away from the simply physical or industrial economical development aspect and turned to broader aspects of social planning with an emphasis on human problems. The real question has become what resources can be brought to bear on a problem or particular set of problems once the policy decisions have been made. In order to establish priorities for problem solving and resource use, planners undertake the task of developing the solutions which others will implement. At the same time, planning

has become an executive administration tool fitted neatly together with program leadership and budget control. Its future seems to be that of coordination, the provision of services to the several state agencies and an element of overall policy control. One area examined in this report is the relationship of state education planning to state planning agencies.

Section Three

THE STATE EDUCATION AGENCY AND PLANNING

The major functions of state education agencies over the years have generally been thought of as regulatory and supervisory. They promulgated rules for the operation of schools and dispensing of curriculum in accordance with policies passed by the legislature or promulgated by the state board of education on delegation from the legislature. The establishment of minimums for teacher certification, pupil attendance and basic programs has generally been a part of this process. Another function of state education agencies has been identified as research: the collection of statistics about schools and education and the conduct of studies. The research function has usually been concerned with keeping track of what is going on in the schools. In recent years, research has been utilized in policy making and policy control processes. Some studies have been utilized by local school districts in the improvement of local programs. Another function of state education departments is that of providing leadership and direction to local schools. This facet has been concerned with the improvement of school facilities in urban or rural areas, curriculum and school business management. In addition, the leadership role of the state education agency has very often been directed at improving state financial support of the schools.[12]

It is out of these three functions that planning for education is being developed. This particular administrative function has operated for a number of years in many state education departments but under some very different names and with very different orientations. One rather extensive use of planning by state education agencies has been school district reorganization, in which the major thrust or purpose was to provide rural youngsters with better educational service. Consolidation of a number of rural districts permitted the building and operation of a high school of sufficient size so that economies of scale were gained along with a greater breadth of program offerings. Other efforts have been in placing vocational education programs in industrial areas and manpower redevelopment in areas where there was economic decline or shift. But planning, in a comprehensive sense--that is bringing the resources of several divisions or bureaus to focus on a set of interrelated problems--has rarely been undertaken.

Two major factors seem to be major inhibitors of state planning for education by the state agency: personnel and funding. The first factor relates to a lack of qualified planners within education agencies. One reason for this is an apparent reluctance on the part of the agencies to reach out and bring in people from the general field of planning. A second reason is that the agencies have not developed their present personnel into educational planners. Often the long range planning function is added to the existing administrative duties of an office or an individual. To compound the problem,

agency officials charged with planning responsibilities are not usually given the opportunity to study in the planning field. The second major factor is budgetary constraints. Not only are the agencies short of planning funds but planning itself is hampered by state budget practices. Most states budget annually or bi-annually. Even where agencies do make long range budget projections for certain needs, most internal program planning is tied to complex budget processes and, as one agency head remarked, "It's hard to look ahead ten years when it takes ten years to get what you need now."[13]

Yet, planning for planning is beginning in many state education agencies with federal help. Title V (Section 503), ESEA, made federal funds available to the states for strengthening the leadership capacity of state education agencies. Between 1965 and 1968, nearly $83 million dollars was granted to the states under this title. The Advisory Council on State Departments of Education reported that 15 state agencies conducted efforts to improve their planning and evaluation capacity and 36 made improvements in their data processing and management information systems in fiscal 1968. On examining the descriptions of projects, the Council reported that some 45 per cent of the $25.1 million granted to states went into strengthening program planning, development and evaluation activities. Additionally, state agencies put 5.5 per cent of funds from all other sources into planning activities.[14]

It is appropriate at this point to distinguish between horizontal and vertical planning. State agencies, by and large, plan vertically, i. e., from the state level down into the several jurisdictions by either region or locality. State education agencies are concerned with educational planning by regions of the state, if they operate on that basis, or by intermediate districts, special educational service areas and local school districts. State health agencies, for example, are concerned with planning by health or preventive health regions, city and county health units and other local health agencies. It is obvious that this vertical planning line can extend upward through the state level to the federal agencies.

Horizontal planning, on the other hand, reaches across all concerns and agencies of the state government. It is the state's responsibility to see that each locality of the state has adequate schools, sufficient health services and on through the range of services and activities. It is the state's responsibility, for example, not only to see that the state health agency provides the public health services but also to see that public works provides appropriate facilities for the health program.[15]

The distinction between vertical and horizontal planning is essential for understanding the full dimensions of state education agency leadership roles. The agency responsible for educational activities in the state by delegation of the legislature should not confine its influence for change and improvement to school districts. It should also exert this influence on other state agencies, offices and related organizations that are involved in or impinge on any portion of the educational enterprise. What this means is that the education agency, while planning vertically, must extend these activities horizontally at the same time. To do less is to abrogate the meaning of statewide planning in the comprehensive sense. In their planning for planning, state education agencies should adhere to this viewpoint.

Section Four

AN IMPROVING PICTURE

The trend in the coordination of statewide planning by state agencies is improving. One indicator is a rough comparison of responses to an inquiry made for the Council of Chief State School Officers (CCSSO) Study Commission and responses in the current study. The CCSSO study sought information on the relationships of state departments of education to other state agencies. The question posed was: "With which six state government agencies is the education department *most* involved?". Of the 30 states responding, only three--ten percent--indicated any relationships with the state's comprehensive planning agency.[16]

At the time of the CCSSO survey, (1967), all 30 of the responding states had some type of central planning agency: four engaged in comprehensive statewide planning, four in physical planning only and five in special situation planning--that is, state-federal relationships, state-local realtionships, or budget review. The other 17 states had planning agencies which were engaged in more or less limited physical and human resource development planning.

The current study, which examined and made inquiries into 21 states, found that formal relationships between the education department and the state planning agency exist in six states, close informal relations in two states, no relationships in four states (nine no response).

As might be expected, these formal and informal relationships vary greatly. They deal primarily with relationships for planning, facilities, information and data systems, and federal aid programs. All are subject to the varying conditions under which the planning agency has been established and the mandates of the state education agency. None of them deal with planning education invention and innovation in areas of curriculum or program. In fact, the only type of program mentioned is vocational education. None deal with planning supportive services for education such as in health or child welfare. These are operated, by and large, through other types of interagency relationships. None, of course, deal with program evaluation.

Goals for Education

A promising trend or development--a concern about educational goals--is beginning to emerge in several states. Even more promising, however, is the apparent shift from educational goals being perceived as *only* a concern of the state education agency to the perception that educational goals are the legitimate concern of *many* state agencies. Evidences of this type of concern in three states are described in the following paragraphs.

Vermont. Education goals for the state, in most general terms, have been supplied to the state planning agency by the Department of Education. Further interpretation and refinement of these goals will be undertaken jointly as the planning agency expands its role in comprehensive statewide planning. The tasks of the planning agency in Vermont are also undergoing change. In March, 1970, the state government was reorganized into a cabinet form and charged, among other things, "to adopt and implement a program of continuing coordination and improvement of activities carried out at all levels of state and

local government." The same act transferred the Planning and Community Services Agency to the Office of the Governor. The emphasis in Vermont planning, then, is destined to become more comprehensive.

New Jersey. The Division of State and Regional Planning, through the Governor's Interdepartmental Committee for State Planning, monitors and aids the coordination of all departments in comprehensive planning. To a large extent, the Committee is a place for long range goal setting and the resolution of goal conflicts. It is through this Committee, too, that joint activity in planning is fostered.

North Carolina. The State Planning Division and the Budget Division, both within the Department of Administration, are working with all state agencies in relating the functions and activities of the agencies to the overall goals for the state. This is a task force oriented task through which the broad goals are refined by the process.

The Planning Division is also aiding the Department of Public Instruction in the development of a Division of Research, Planning and Development. The new division will have as one of its functions the coordination of planning relationships with other state agencies.

Facilities Planning

Many state education agencies have devoted considerable time and energy to the development of planning for educational facilities. It has only been in recent years, that state education agencies have attempted to coordinate their planning efforts (for educational facilities) with state planning agencies. Three such efforts are briefly described in the following paragraphs.

California. The bulk of school district reorganization and future planning for schools over the past 20 years has been carried out under the direction of county committees on school district organization. The committees, established in law in 1959, have up to eleven members elected in each county by the school boards in each county. The committees are now responsible for devising school district master plans showing all of the territory of the counties organized into unified school districts.

The Bureau of School Planning is the unit within the Department of Education which deals with other agencies and local school districts in planning and approving new school sites and facilities. Master plans indicating up-to-date information on existing and planned land use, highway plans and construction, population predictions, etc. are required. The Bureau maintains the liaison with county, city and state planning agencies for developing and reviewing these master plans.

Delaware. The Delaware State Planning Office is changing its functions from a purely physical planning activity to a broader spectrum of planning within the context of improved management functions in state affairs. There is an emphasis on increasing the level of coordination of educational programs with other programs of state agencies. This change has just begun with the reorganization of state government from a commission to a cabinet form.

The Delaware State Planning Office is responsible for preparing the capital improvement program of the state. This is reflected in a capital budget developed by the Governor's office. In the area of facilities planning

the office performs a coordinative role. The Department of Public Instruction is responsible for determining facilities needs for elementary and secondary education in the state and these are reviewed with the Planning Office prior to their inclusion in the capital improvements program recommendations for the Governor. The current capital improvements program is a six year program, 1971 thru 1976.

The Planning Office is preparing an outline for physical facility needs of all state agencies for the next ten years. For education, this will involve a survey of local school facilities, a review of practices in relating school facilities to their surrounding communities as well as locational and site characteristics. Criteria for school needs will be developed and the overall elementary-secondary school needs established based on population forecasts. Within this framework, areas will be identified where particularly pressing work will be primarily carried out by the Department of Public Instruction with the assistance of the State Planning Office.

Vermont. At present, planning in Vermont is, by and large, physical planning and land use. The planning office has been involved with the State Department of Education and other agencies in the planning of new school facilities. Under the regional planning set-up in Vermont all municipal and state government projects must apply to the environmental control unit of the area for approval before a project is started. In addition, if a project is located near a highway, the Highway Department must grant approval also. The new facilities must then be approved by the State Fire Marshal and the Department of Public Health before state aid for construction can be paid. In the face of this multiplicity of agencies, the Department of Education is adding two staff members to assist local districts in facilities planning. Their duties will require and provide for increased liaison with the several other agencies and the Department.

Data and Information

As indicated in a recent study,[17] many state education agencies profess the existence of some type of management information systems. As with the area of facilities planning, there appears to be little coordination between the SEA's and state planning agencies in this regard. Three SEA's in which coordinative efforts in this regard have been made include:

Hawaii. The Hawaii Department of Planning and Economic Development has the task of preparing 20 year development plans for the state. In doing so, the Department keeps current on community growth and plans for development which include housing. This data is provided to a number of agencies including the State Department of Education for the purposes of facilities planning.

Puerto Rico. The Insular Planning Board in the Commonwealth of Puerto Rico through its Bureau of Economic and Social Analysis forecasts the growth of the Purerto Rican economy in agriculture, industry and business. The planning modules used by the Board are ten and six years. The results are

a manpower projection refined to the point where about 100 selected occupations in a large number of industries can be projected as employment needs in the near future. The need-for-employment projects are translated by the Department of Education into objectives and guidelines for output by the various educational programs in order to provide a labor force with specified levels of educational achievement. For a small number of occupations it is possible to offer the actual training necessary for the public schools.

Planning in Puerto Rico has also been expanded from capital facilities and industrial development to more comprehensive social planning. Within the general development plan of the Planning Board, the probable trends in population growth, national income and other measures are projected for ten years. It will soon begin forecasting operating budgets in addition to capital budgets and coordinate the programs of all government agencies on a set of common assumptions about economic and demographic projections for the Commonwealth. It will also assume a comprehensive legislative program, establishing standards for health, education, welfare and other aspects of Puerto Rican society.

New Jersey. The Division of State and Regional Planning of the Department of Community Affairs, the state's planning agency, is providing assistance to the Department of Education in developing a management information system. Socioeconomic and land use data is being supplied to the Department while it integrates educational data from its own files. The purpose of this cooperation is twofold: avoidance of duplicate data collection and a more comprehensive educational data system compatible with the system of the planning division.

Vocational Education

Only one state reported a planning-coordinating relationship in a defined program area--vocational education in Wisconsin. The move of the Wisconsin Bureau of State Planning into the Department of Administration is recent. It reflects a change again from physical development to "promoting the development and maximum wide use of natural and human resources of the state."

Wisconsin. Educational planning in Wisconsin is highly fragmented. There is a Department of Public Instruction responsible for the elementary and secondary schools, the Vocational, Technical and Adult Education Board, the Higher Education Aid Board, the Coordinating Council for Higher Education plus the University of Wisconsin and the Wisconsin State University System under its own Board of Regents. This very multiplicity of agencies has inhibited educational planning *per se* and prevented statewide coordination on the part of the state planning agency.

The Vocational, Technical and Adult Education Board is responsible for all public post-high school programs in these categories. It is also responsible for vocational high school programs but these are supervised by the Department of Public Instruction under an agreement between the Board and the Department. Other relationships between the two agencies deal with the driver education program and the detection, referral and follow-up of certain categories of handicapped youngsters. Through the Bureau of State Planning

there are some efforts to coordinate these activities with proposed local industrial development. However, the state is not at this time engaged in comprehensive industrial development planning and thus participates at a very minimal level in this activity.

Coordinative Arrangements with Legislative Councils

Several states have created legislative councils for education. Arkansas, Kansas, New Mexico, North Dakota and South Dakota are among those states which have adopted the concept or variations of it. Generally, legislative councils are composed of state legislators from both houses with equal party or, at least, bipartisan representation. There may also be lay representation and/or ex officio representation of the state education agency. Some councils have their own staff while others utilize the education agency as the source of information and for the conduct of studies. They differ from regular legislative committees and such arrangements as New York's Joint Legislative Committee to Revise and Simplify the Education Law in that they have been specifically and separately created by the legislature to examine and recommend in one or more facets of education. Educational finance is a particularly popular facet for study.

The purpose of legislative councils generally seems to be to keep the parent body, the legislature, apprised of the needs and accomplishments of education in the state. Ideally, the councils examine the need for broad policy changes and recommend a series of legislative acts to bring them about. Less ideally, they adjust the state program and the aid formula for the coming fiscal year. Occasionally, they become a counterforce to the governor by proposing an alternative program to compete with his. Two states have been chosen to illustrate a number of these points.

Arkansas. The Legislative Council, composed of members of both houses of the General Assembly, works very closely with the Department of Education. School finance is a major concern and the Budget Committee of the Council utilizes Department data in formulating its recommendations. This particular relationship involves both operating and policy levels in its conduct, leading to legislative proposals.

In the program area, the Council relies on the several divisions of the Department and especially the Research and Statistical Division. Where a joint decision has been reached on the need for new or additional data to be gathered through a special study, the Department creates the design and conducts the study. For some questions, separate study committees are established by legislative action following a Council recommendation. In 1969, a thirty-five member committee was appointed to study and evaluate the minimum foundation program with special attention to the plan now used for distribution of state aid to local districts. Thus, program and finance are linked through the Council.

Perhaps as a balance wheel to keep the finance aspects from dominating legislative considerations, the General Assembly established the Arkansas Advisory Council of Public Elementary and Secondary Education to make a continuous study of educational programs. It reports to both the legislature and the State Board of Education biennially.

New Mexico. The Legislative School Study Committee is composed of state representatives and senators "interested" in education. In 1967, it was given permanent status by the Legislature and obtained a staff. One of its first accomplishments was a revision and condensation of the education laws of the state, passed by the Legislature.

The purpose of the Committee is to explore various facets of education and develop legislation which will eliminate weaknesses in the system. The Committee holds monthly meetings at which anyone may appear to express their views of education. Education Department officials often appear to explain programs and present recommendations. Much of the activity centers on educational finance.

The relationships between the Department and the Committee have been more political than planning. Many educators in the state, including Department officials, have been seeking an agency to redress the balance in educational policy-making and put it on a research-policy-planning basis. The essential division of control among the several parts of government, the Governor, the Legislature and the State Board of Education have prevented this development. To some, the Legislative School Study Committee is a partial answer in that it can be used as a forum for the expression of views as well as for the launching of considered proposals. They realize, however, that the imperatives of politics within the legislative process might lead to a truncation of the research-planning functions.[18] Others believe that the legislative council concept has further split the state education scene by discouraging the already weak relationships between the Department and local districts. The Department itself may have been captured and its capacities utilized by the Legislature to strengthen its hand *vis a vis* the Governor. In this situation, the Department may be acting as a professional arm for the council.[19]

These critiques indicate serious problems may be developing which would have the effect of reducing the use of planning in New Mexico education. Furthermore, the minimized planning function could be moved entirely out of the hands of the Department. *Planning is an administrative function, not a legislative one.* To have a legislative body, in effect, do the planning for education is just as poor a practice as having planners legislate or make policy.

General Relationships with Other Agencies

State education agencies have cooperative relationships with many other state agencies. These take several directions, ranging from joint discussion groups on the problems of youth to budget negotiations and on to safety checks of local district buses. Some relationships are mandated by statute while others have developed around common concerns in an informal manner.[20]

Within the definitions of planning used in this report and usual framework for discussing planning, few of these cooperative relationships can be thought of as contributing to planning for education. However, they do have potential for conversion into access points for the facilitation of horizontal planning.

This might best be illustrated by referring to the relatively large number of states (12) which have joint or interagency committees on health. The committees involve the education and health agencies at minimum but may also

include mental hygiene, social welfare, community affairs and, perhaps, a state youth commission. By and large, these committees are at the agency operating level and composed of assistant commissioner and/or division heads. They deal with problems such as the quality or need for health services in communities or the responsibility of local health agencies in relation to school health services. The members are usually able to return to their respective agencies and operate within the framework of limited joint decisions. They may be prevented by statute or executive regulations from the joint expenditure of funds but other than that, most seem to be free to make some cooperative decisions for separate operations.

Conversion to planning from this type of programmatic cooperation is relatively easy as one is the logical extension of the other. Some states have already begun insofar as the separate agencies are willing to commit personnel and resources which, of course, is a top policy level decision. It is this level which must become involved or at least interested enough to free the lower echelon personnel to begin planning discussions and back them with the needed resources.

Two considerations are important, however. First, the tendency seems to be move planning functions into or nearer the policy level as interagency cooperation expands. There must be continual communication with the operating levels about the joint planning decisions made if this occurs. Otherwise, the access developed earlier will be closed off by ineffective implementation or, worse, misunderstanding. Second, if one agency is the watch-dog of another in some respect, say, the health standards of schools, there may be a built-in hinderance to planning or other cooperative relationships. These supervisory activities should be removed to separate units which would not be involved in the joint planning functions.

The improving picture of state education agency involvement in comprehensive statewide planning may be summarized as one of developing outreach. State planning agencies are cognizant of the role of education in state plans for growth and improvement. State education agencies, in response, are slowly beginning to conceive the necessity for horizontal as well as vertical planning for education. They also seem to realize that if they do not move in this direction, the planning agency, under the governor's office, will eventually pull them into the coordinative arrangement. There is still the problem of the legislature and cooperation with other state agencies to be fitted into the general framework of politics, policy and planning. However, there has most usually been a set of relationships developed between the education agency and these units. The manner in which they are converted or realigned in the planning function will vary with previous experience and the total context of each state's arrangements for education and planning.

In the next section, two states are utilized as cases in the hope of obtaining a glimpse of some illustrative contextual factors.

Section Five

TWO CASES

The relationships of state education agencies with other state agencies, particularly the comprehensive planning unit of the state, was examined in

some detail in two states, New York and Pennsylvania. The purpose in each was to develop the examination of these relationships within the total context of state comprehensive planning. The length of experience in statewide planning was a major differentiating factor between the two states. In New York, relatively systematic planning in education has been underway for nearly two decades, and comprehensive statewide planning has been developing since about 1960. Pennsylvania, on the other hand, began planning in education about 1963 and systematic statewide planning in the comprehensive sense is just now getting underway.

THE STATE OF NEW YORK: PLANNING IN A POLITICAL POLICY FRAME

Comprehensive statewide planning in New York State encompasses the entire range of human activity and environment and the inter-locking social, economic and physical aspects. It views government activity as an interrelated system of functional programs. Education, broadly conceived, is functionally involved in a number of aspects. The unit of government which oversees the entire planning process is the Office of Planning Coordination (OPC).*

Office of Planning Coordination

The Office of Planning Coordination is located administratively in the executive branch as part of the Office of the Governor. It is organized into three bureaus for administrative purposes: Comprehensive Planning, Functional Coordination, and Planning Research. In addition, there are four district offices and 11 planning regions. The Bureau of Comprehensive Planning is concerned with the framework for planning of the state's long range development. This includes physical development, industrial expansion and concomitant social services. The Bureau of Functional Coordination translates long-range objectives into services by coordinating the planning and programming of other state agencies and attending to inter-governmental relations; that is, state-local cooperation. It also monitors federal activities which affect all agencies. The Bureau of Planning Research gathers and analyzes data related to planning and tests alternative planning proposals. It is also a dissemination center for information about planning. At the present time, it is continuing the development of a computerized data retrieval system. In addition, Planning Research develops statistical models to evaluate alternative proposals of state agencies.[21]

The Bureau of Functional Coordination is the unit of greatest interest here. State goals and objectives in social, economic and physical planning have been divided into ten functional areas: housing, education, health, human resources, recreation and culture, public safety, transportation, economy, natural resources and government. The comprehensive planning units will coordinate the plans in each of these areas. Units have been formed for six of the ten areas. Two of these, the Health Planning Commission and the Social Development Commission, are comprehensive, in that they are composed of representatives of several concerned state agencies. Two more, recently formulated under new legislation, are conservation and public safety. Two state agencies approach complete planning responsibility in their functional areas: the Department of Transportation and the Board of Regents in education.

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*In April 1971, OPC was merged with several single purpose planning commissions and renamed the Office of Planning Services.

While the Board of Regents is a single agency responsible for the coordination of education planning, its staff, the State Education Department, is represented on the two comprehensive functional planning agencies; the Health Planning and the Social Development Commissions. It is also represented on the Manpower Resources Council under Social Development. These representations are by the Commissioner of Education or his designee.

One of the major devices utilized to link planning and financing has been the planning-programing-budgeting system adopted by the state in 1964.* OPC and the Division of the Budget, also in the Governor's Office, cooperated in developing the system. OPC is also developing a set of measures for evaluating programs in such areas as human relations, per capita income, industrial productivity and environmental improvement. They now jointly review state programs as presented by the agencies for budgeting in the coming fiscal year. This review covers the immediate purposes of the program, the need in the state for the program and its long range objectives. The purpose of the review is to identify gaps and duplications in state programs and to set priorities on proposals. The results of this review aids in devising the governor's budget for the coming fiscal year.[22]

Obviously the governor's program for the state are the guides for the work of OPC and the several state agencies. To insure that this aspect of planning is not overlooked, the Governor's Office has instituted a group of program associates coordinated by the Secretary to the Governor. Each of these people is responsible for liaison between the Office of the Governor and approximately three state agencies. To some extent, they are both monitors of the agencies' activities from the larger program viewpoint and trouble-shooters, doing essentially casework that has come to the attention of the Governor's Office. In addition, the Office of Planning Coordination has several functional area representatives who maintain contact between the Functional Planning Bureau and the involved agencies. The Division of the Budget operates along similar lines, having budget examiners assigned for each of the several agencies and in some cases for separate activities of the agencies.

Planning in the State Education Department**

Planning is not new to the Education Department. Almost all units have conducted planning activities and many of these have resulted in major changes in education in the State. The planning efforts of the Bureau of School District Reorganization have led to a reduction in the number of school districts in the State from 4,609 in 1947 when the Master Plan for school district organization was adopted to 767 in 1969. The Bureau has helped reduce the number of supervisory districts from 208 to 52 and their development into Boards of Cooperative Educational Services (BOCES).

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*PPBS is apparently on its way out as an overall planning budgeting tool for New York State government. PAR, Program Analysis Review, is being considered as a replacement although individual agencies may continue to use PPBS.

**This summarizing of planning for elementary, secondary and continuing education in the New York State Education Department, was adapted from "Putting Action Into Planning in New York State", a discussion document by the Center for Planning and Innovation, dated October, 1969, supplemented by information in the Department's Annual Report (1968-69) and "Education Policy Formation and the Future: A View from the State Education Department", a paper by Gordon M. Ambach, Assistant to the Commissioner for Long Range Planning.

Planning is going on for the establishment of a statewide ETV network; for the establishment of an educational data processing network; for the development of Instructional Materials Centers to serve teachers of the handicapped; for the provision of more efficient library processing services to school libraries; and for a regional network of data processing centers.

Planning assistance to local schools has been provided by all units of the Department concerned with curriculum, supervision, education of the handicapped, continuing education, Cooperative Review Service, business management, facilities planning, etc.

The development of principles and procedures for the administration of a large number of State and federal categorical aid programs has required intensive planning by many units. The activities required by local districts to obtain the funds have also included a large element of planning.

To promote and assist planning at the local level, the Department used funds under Title III of The Elementary and Secondary Education Act (ESEA) to support sixteen regional educational centers. These have helped individual districts and their regions plan and implement a variety of programs.

It was in part because of the range and diversity of planning efforts in the Department that former Commissioner James E. Allen, in 1967, created an Office of Long Range Planning, the primary task of which was to see that the planning capacity throughout the Department was strengthened and that the activities of each unit meshed with each other and with the overall plans of the Board of Regents. This Office was also charged with directing the Department's development of a Planning, Programming, Budgeting System (PPBS) in conformity with the requirements of the Governor's Office.[23]

The Commissioner also expanded the assignment of the Center on Innovation so that it would become the staff planning office to the Deputy Commissioner for Elementary, Secondary and Continuing Education with the title of Center for Planning and Innovation. This central planning activity involves the heads of all units concerned with elementary, secondary and continuing education, a planning group of some thirty-five members. The group has, thus far, provided a forum for discussion of the Department program priorities as part of the PPB system. It is considering ways to give greater focus to Department efforts to cope with critical issues facing education. In addition, it has begun to do some thinking about where education should head in the 1970's and how it should get there.[24]

None of this planning effort in elementary-secondary education has, as yet, reached out and made formal ties with OPC. Only the development of PPBS priorities and formats link the two within the planning frame. Most of the Department's effort is in vertical planning at present. It must be noted, however, that the planning policies and procedures have built-in points of access at several levels which will permit development of horizontal links in the near future. The following example demonstrates this aspect.

There is one clear case of excellent planning coordination between OPC and the State Education Department. This was the involvement in the Appalachia Regional Development Act as applied in New York State through some 50 projects in 14 counties in the south central and western parts of the state. As OPC coordinates all federal-state-local planning in New York, the Special Programs Unit within the Bureau of Planning Administration undertook the task. For all planning which involved education at the elementary and secondary level, the Boards of Cooperative Educational Services in the several counties were utilized as an entry point.

A major concern in developing this region was occupational education. While the original surveys were of occupational education needs determined by the Department's Bureau of Occupational Education, the planning for programs in the separate areas were carried out by the cooperative boards with the aid and advice of people from the Bureau. Other educational data was supplied by the Bureau of Statistical Services through its basic education data system, then in its beginning stage of development. There were gaps in this information which had to be filled by the OPC Special Program Unit.

In the matter of school district reorganization, State Education Department plans, (the Master Plan for redistricting) were shared by the Assistant Commissioner for Educational Administration and Supervision. This full disclosure policy was of great help to OPC in planning for the region. As for school facility planning, the Division of Educational Facilities Planning shared information about building programs in the area and helped interpret local facilities needs for OPC.

The greatest planning pay-off in this particular instance was apparently the availability of state education agency services to the local cooperative boards (BOCES). Whereas relatively few services were supplied directly to OPC out of the State Education Department, the Department was willing, and, indeed, very helpful in supplying information and advice through local cooperative boards. Incidentally, local government officials, including school district officials, showed some reluctance to cooperate with either OPC or the State Education Department in Albany. They were, however, most willing to meet with the district superintendents and cooperative boards.

There is another aspect to this cooperation--the factor of federal aid. OPC had apparently under its control relatively large sums of Appalachia funds for a number of projects. The availability of these funds which could be distributed to agencies for various pieces of the work, gave added impetus to the willingness to cooperate and coordinate.

Planning Relationships With Other State Agencies

As noted earlier, the Education Department in New York has long been engaged in planning. School district reorganization has already been mentioned. Hundreds of common school districts have been merged to form K-12 systems. Under 1967 legislation all non-operating common districts were dissolved in 1969. The next steps in district reorganization look forward to the merger of two or more high schools into a single district, again for the purpose of providing diversity of program. It may be expected that as these plans are developed, they will be coordinated with comprehensive statewide planning.

There is fairly extensive cooperation among the state agencies in the "soft" or social service areas of public responsibility. Some horizontal

planning is being done at the state, county and local levels at the present time. The Departments of Mental Hygiene, Health, Social Welfare and Education have developed several potential avenues for cooperation in comprehensive planning of services to children and youth. These take the form of interdepartmental commissions or committees. At the top is the Commission on Health Planning formed in 1967 to coordinate federal, state, regional and local programs and supervise the administration of the federally-required comprehensive state plans. There is also the Social Development Planning Commission with its subcommittee, the Manpower Development Council. Both of these are the functional planning agencies under the OPC arrangement. They are primarily concerned with the coordination of planning done in several separate agencies.

At the operating level there is a four agency interdepartmental committee on youth which involves the bureaus of the several agencies that deal with aspects of special education; that is, retarded and emotionally disturbed children as well as the physically handicapped. There is some indication that the majority of the work of these committees is short-range planning for program improvement and delivery of services operating under the broad umbrella of the functional planning commission.

At the local level, the Board of Cooperative Educational Services (BOCES) again provides a very definite link between Education and the other agencies. These intermediate service units have helped to overcome some of the difficulties of the differences in organization of the several agencies. One difficulty in the past has been that the Education Department's organizational arrangement was such that the people most concerned with, say, elements of special education, were scattered throughout several bureaus whereas in the Department of Mental Health they were concentrated in one bureau. The situation was compounded for all other agencies by the addition of Title I and Title II offices in the Education Department. The other agencies are also organized differently in the field. That is, there are mental health regions and within them county mental health boards. The Department of Social Welfare is organized on county bases as is the Department of Health. The BOCES, of which there are now 52, often include one or more counties. It is often easier and more desirable to work out area problems at the area level rather than make joint policy decisions centrally and leave it to each agency to implement them separately. It is also much more convenient for the county mental health boards, for example, to work with a BOCES instead of 20 separate school districts. The people in the other three agencies indicate that they receive a good deal of cooperation in planning and program efforts and that the State Education Department is very willing to meet with them on that common ground.

In New York, then, there is great potential for the improvement of comprehensive planning in the soft areas of governmental endeavor. The vertical planning efforts of the state education department can be readily articulated with the vertical planning being done in the other three major agencies. The instrumentalities, that is, planning commissions, interdepartmental committees, and local service agencies are established and continuing relationships are already underway. Horizontal planning is beginning to bud out of these relationships.

Turning to the area of relationships with the Office of the Governor and the Legislature, the Board of Regents and the State Education Department of New York has had a long history of close cooperation with these agencies.

Relationships With the Office of the Governor and the Legislature

The Board of Regents is a unique state board of education in that it is a public policy board for all educational activity in the state--public and private. Created in 1784, the fifteen Board members are chosen by joint ballot of the legislature for 15 year terms. The Commissioner of Education is an appointee of the Regents and serves at their pleasure. He is the only cabinet level officer in state government not appointed by the Governor. All of this adds up to a relatively independent structure for the guidance of education. A great molder of public and governmental opinion in the past, in the last two decades the Regents have taken an active role in the formulation of educational policy within the state. Since 1960, they have made it a practice to publish their assessment of the needs of education and make recommendations for legislative action. These policies are carefully developed and enunciated and, on the whole, balance is sought between proper advancement of the schools and the climate of public opinion in the state.

At times, the Regents and the State Education Department, through the Commissioner, have displayed this independence and countered the Governor's program for education in the state, taking their case to the Legislature and the people. In recent years, however, staff people in the Governor's Office feel that the Regents have become more cognizant of the broad social and political realities faced by the Governor and, indeed, all of state government. The Regents, for example, have come to advocate tax increases to support education. In the past, they adamantly stated that their business was to make known the needs for education and the legislative and executive branches had the task of achieving the necessary financial support.

An administration spokesman indicated that the Regents and the Department have become less prone to use the kids as a club in obtaining modifications of the Governor's program. They are now examining the critical social problems of the state, attempting to find out what other agencies are doing and shape their plans to fit the broader spectrum of activity. Yet another change has been the limiting of representations before the Legislature. The former Commissioner, Dr. Allen, channelized all representational activities through his office and limited its conduct to five top people in the Department. Thus, coordination is enhanced as special pleadings of divisions and bureaus in particular areas of education are eliminated.

These policies and procedures serve two important purposes. First, there is internal coordination of program proposal development up from the bureaus and divisions through the various administrative levels to the Commissioner and the Regents. Thus, the inputs are department-wide although the final choice of priorities rests, of course, with the Regents. Secondly, and possibly more important, are the relationships of the Department, the Governor and the Legislature. There has been a reduction in the number of people who lobby the Office of the Governor and/or the Legislature, which in turn has taken a good deal of strain out of the relationships to the benefit of programs.

Monitoring the activities of the various agencies and aspects of the Governor's program is a full-time task for his counsels and program associates Their functions range from advising the agencies and the Governor on legal technical aspects of programs to examining the political impact which decisions will have. To some extent, they aid the several agencies in examining priorities within their portion of the Governor's program and at times act as expediters to move an agency along faster.

Education poses particular problems to the Governor's staff in several ways. First, the relative independence of educational government is a real factor, but confrontations with the Regents and the Commissioner are avoided in order to prevent any semblance of a show-down policy struggle. As a result, controversial or difficult issues are patiently negotiated by both sides.

Another factor with which the Governor's staff must wrestle is the size and diversity of the Education Department. The men around the Governor feel that there is not a great deal that can be done to move the ponderous educational establishment. Several aspects of a problem may be handled by several different bureaus within the Department. To simply locate all the units dealing with a problem is a large task in itself. Going through the usual bureaucratic channels from the top down, there may be as much as a week and a half of delay in obtaining an answer to a question. Given the tempo of executive and legislative activity on critical issues, this is an intolerable delay.

On the other hand, they characterized the Department as most cooperative in supplying information and opinion. Data which is supplied by the Department is up to date, accurate, and usually in usable form. The reason for this is an excellent statistical services unit responsive to the requests of Department decision centers in the several units.

The relationships between the Department of Education and the Legislature have been cordial and cooperative. The care with which the Regents' legislative proposals are drawn and the reduction of internal lobbying by special interest areas, as noted above, has enhanced the relationships. The cooperation of the Department in supplying data and opinions to legislators and committees is appreciated. The Legislature is developing its own research capabilities through centralized committee staffing but is still highly dependent on the operating agencies for most data. As these capabilities improve, there will be a need for coordination between the departments and the staffs to at least establish comparable baselines.[25]

Of special interest in the area of planning is the relationship between the Education Department and the Joint Legislative Committee to Revise and Simplify the Education Law (JLC). Joint Legislative Committees in New York examine broad policy areas for the purposes of identifying and preparing needed legislation. They operate year round while the Legislature meets for only four months. Composed of Senators and Assemblymen appointed by the leaders in each house, JLC recommendations are made with a strong built-in consensus. This particular JLC is chaired by the Senator who is also Chairman of the Senate Education Committee. The JLC was formed in 1963 to accomplish the purpose designated in its title. In 1966, it was additionally charged with the responsibility for reviewing state aid legislation, a responsibility which was terminated in 1970.

Throughout its existence the relationships of the JLC and the Department of Education have been cordial, cooperative and well handled from the Commissioner's office on down through the various administrative layers. The Committee staff has not been hesitant to communicate its problems directly to Department people and received responses in the form of data and information to help it in its work. At times, the staff, through its work, has been able to point out areas of needed operational change which Department officials have examined and, in a number of cases, implemented.

At the same time neither has been an overbearing influence on the other. The Commissioner and the Regents in making out the legislative program have done so independently of the JLC. The Committee in reporting to its parent body, the Legislature, has prepared its recommendations in light of the mandate which created it. Over the years, there have been many points where the two sets of recommendations look to be much the same. At the same time, however, there have been significant differences particularly in the amounts and methods of distributing state aid.

Relationships With the Educational Interest Groups

The relationships between the Education Department and the professional and lay organizations concerned with education, primarily represented by the Educational Conference Board of New York State, have over the years been quite cordial and mutually supportive. The major concern of the Conference Board has been the state aid formulas and other aspects of state aid to school districts. Since its inception in 1934, the Conference Board organizations, which include the New York State Teachers Association, the State School Boards Association, the New York State Congress of Parents and Teachers, as well as the several administrators' organizations, have been able to lay aside their differences on matters such as teacher tenure, minimum salary, and transportation to concentrate on the aid question. People from the Educational Finance Division of the Department have very often been unofficial guests at Conference Board meetings, contributing to the discussion and comparing Department figures with those developed by the Teachers Association Research Office for Conference Board use. As Bailey reported, once the decisions are made, the State Education Department people go their way in consent building within the Department and the organizations define their own roles in lobbying before the Legislature.[26]

The Conference Board efforts were relatively successful with the Governor and the Legislature until about 1963. At that point, the entire context in which the Conference Board operated began to change. Within the coalition itself there was a latent failure to recognize and emphasize the problems of urban education as distinct from the problems in rural and suburban areas. The constituency of the Conference Board does not include the six major cities of the state nor has its work very often benefited the smaller cities in any particular way. Another internal problem has been the division between School Boards Association and the Teachers Association in the face of rising teacher militancy and the advent of collective bargaining rights for teachers. Externally, the Legislature itself has changed. Several redistrictings of the state have brought urban and rural-suburban interests more into balance in terms of representation. When the Legislature was dominated by rural interests, the Conference Board had an advantage in that its proposals largely benefitted rural and suburban schools.[27] With still very little in its proposals for city districts, the Board now receives a polite hearing from the urban legislators. The result has been that Conference Board proposals have declined in terms of the interest they hold for a majority of legislators. The proposals are now considered as one among several sets of proposals including those of the JLC and the Regents.

Summary

Looking across the relationships of the State Education Department with other state agencies, particularly in the area of planning, it appears that there is great potential for fruitful cooperation and progress. The State Education Department, under policy direction of the Board of Regents, is the functional planning organization for education in the state. Its vertical planning operation seems to be developing well. Through relationships established in various ways with other state agencies, it is beginning to reach out at several levels for horizontal planning. For example, the cooperation with the other social service agencies seems solidly built on mutual respect and a desire to maximize effectiveness for delivery of services in the field.

One of the best features in New York is the use of the Boards of Cooperative Educational Services as a local level planning unit. These 52 units can become the meeting ground for several state agencies concerned with the same problems. If the appropriate linkages can be made between the 16 Title III regional centers, the planned data processing system and regional planning boards of OPC, the desired horizontal planning concept can come to fruition.

The major problem which seems to be emerging is a need for a mesh of views on the political nature of the processes. It is clear that comprehensive statewide planning through OPC is very heavily based in the Governor's program which is, in part, politically derived. At the same time the financial aspects of this program must be approved by the Legislature in terms of the appropriations which it makes. As they do so, they are watch-dogged by the Division of the Budget which has close ties to the state planning agency.

The major decisions which the State Education Department will face are the necessary choices between the short run political decisions and the long range planning decisions. The relative independence of education within the state government structure has been utilized in the past to great advantage in reaching compromises with the Legislature and the Governor. Fitting into a comprehensive planning frame is not necessarily the easiest choice, especially when there is some feeling that alternative short-run action may resolve the situation in favor of the Department. The galling part of this is that the long range planning program itself is politically based.

THE COMMONWEALTH OF PENNSYLVANIA: POSSIBILITIES IN THE PATCHWORK

Comprehensive statewide planning has not yet begun in Pennsylvania. There are problems in the structure of its governments, the tax structure and, above all, obtaining a broad consensus that planning is needed. In spite of these difficulties, several of Pennsylvania's recent governors have exerted leadership in this field to the extent that action has started. Planning activity is scattered in a number of agencies and coordinative mechanisms need development, but the potential is building well. As in other states, a central agency--the State Planning Board--may be expected to become the coordinating agency.

The State Planning Board

State planning in Pennsylvania began with the conservation movement of the early 1900's. When the Planning Board was created it was a physical planning agency concerned with land use, particularly in the areas of forestry, water resources and recreation. Later it became the coordinating agency for all major state improvement projects and began to publish information about economic and physical development in the state.

In recent years, the Planning Board has begun to explore the larger social service and environment areas of planning. Its staff has increased the liaison with other agencies of state government--although largely on an *ad hoc* basis. The one formal relationship which it has with all agencies is in its role as the review agency for all federally required state plans under a directive of the Governor. It is also the state clearing house for project review under U. S. Bureau of the Budget circular A-95. These responsibilities provide the State Planning Board with a limited coordinative function.

The approach to coordination taken by the Planning Board is one of service to the operating agencies in their planning efforts. The Board staff attempts to analyze planning problems, utilizing the data supplied by the operating agency. It does not coordinate agencies nor their efforts. It does attempt, however, to sit in when two or more agencies are trying to analyze a joint problem. One role which it performs is that of assisting the agencies to separate what has to be done immediately; that is, what is imperative at the operating level, and what should be considered as an area for planning. This aid in sorting out operational imperatives from planning needs has as its purpose the creation of a planning consciousness in state agencies.

In the planning area itself, the Board staff checks agency plans before they make any input to the agency. The staff does not change the plans themselves in this review but does attempt to bring about changes of insight within the agency so that it will critically review and improve its own plan.

The Bureau of the Budget in Pennsylvania, located within the Office of Administration, is developing a planning, programing, budgeting system (PPBS) for the state. A complementary activity development of a Management Information System (MIS) is also in progress. Agency objectives are being reviewed and the separate agencies are being encouraged to develop measures of effectiveness. A five year program budget has been developed and the state will change to PPBS for budgeting purposes.

This changeover will have some effect on the work of the State Planning Board, particularly in terms of lead time. The program budget will be concerned with a period of 0 to 5 years while the Planning Board will be concerned with time spans beyond five years. When the system is fully operative, long-range plans will come into the PPB system five years ahead of their first actual expenditure.

The immediate relevance for the Planning Board is in the area of physical planning for public improvement projects. It is too early to determine the effects with regard to the developing responsibilities of the planning board in comprehensive planning. In other words, the question of how much coordination of agency plans will be undertaken has not yet been answered.

Planning in the Department of Education

The efforts of the Department of Education in planning for education have been fairly extensive. Redistricting, begun in 1963, is well on its way to being accomplished. Under state legislation, each district submits a long-range development program as a part of the reorganization process. In 1970 further reorganizing was accomplished, with the establishment of intermediate units to replace the offices of county superintendents. Each of these units is intended to serve school populations of approximately 100,000 pupils and

offer supplemental services in special education, school health, building, planning and construction, data processing, research, coordinated purchasing. Some 16 regional centers under Title III, ESEA, have been established and are operating. An assessment of educational quality in Pennsylvania to develop an evaluation procedure for measuring objectively the adequacy and efficiency of educational programs for the public schools is well underway.

The relationships of the Department of Education to the State Planning Board of the Bureau of the Budget in developing the comprehensive planning process have generally been very good. In the developing of objectives for education in the state, the Department had little difficulty as it had been at work on this very task for about four years. These objectives fit quite well into the PPB system as it was being devised. The measures for achievement of objectives are now being worked out jointly. In the longer range planning which involves the Planning Board, the Department of Education had some difficulty in sorting out its priorities for education. According to some observers, this is an indication of a lack of coordination within the agency itself. To other observers it is the inability of educationists to critically examine the body of "folklore" with which they deal and begin to objectify the kinds of outcomes which are desirable. In facing this particular problem, the Department of Education has been a bit protective of its prerogatives as a separate state agency. It has also complained of a lack of sufficient staff to meet these added tasks.

Several agencies indicated that Department of Education data was not very usable in planning activities. The Department collects an abundance of data but it is not usable for measurement purposes as it is not tied to stated objectives. Data from the Department has been examined by people in the Bureau of Management Information Systems and some useful conversions have been made. At the same time the Department is working on the problem itself with some help from MIS and the Planning Board.

In summary, bringing the Department of Education into a coordinating scheme for statewide comprehensive planning seems to be starting well. For its size (the largest single state agency in number of personnel) and a high degree of bureaucratization (with some 27 bureaus), it has been characterized as one of the least difficult agencies to work with. The planning activities already underway within the Department have been a major help in the beginning of coordination with the central agencies. The exigencies of day to day operation interfere to some extent with the planning agencies' desires for appropriate separation of operating, implementing and planning.

Planning Relationships With Other State Agencies

At the interagency level, cooperation between the Department of Education and the Departments of Community Affairs, Health, and Public Welfare have been fairly smooth. Special impetus has been given to interagency cooperation through the necessity for planning mandated in federal programs. As one wag put it, "These outfits didn't speak with one another at all until they began to get federal money". While the characterization is a little strong, it does contain a kernel of truth. There are few formal relationships among agency heads; that is, through commissions or committees concerned with particular functional areas of state services. A previous Governor, William Scranton, did establish a Council for Human Services as a cabinet level organization

for the coordination of services to people. The Council met monthly as a discussion group rather than a decision-making center. A major shortcoming of the Council to some people was the fact that there was no communication of results to the operating levels in the several departments.

The Governor's Council for Human Services no longer meets, but the staff continues to function as an arm of the Governor's office. People in other agencies tend to look on the Council staff as the Governor's trouble-shooters as it gathers problems from the Governor's four regional offices and the Executive Department in Harrisburg. The priorities given to solution of problems are set by review of the Governor's public pronouncements and campaign promises.

The Council staff has relatively little to do with long-range planning. They work from problems which arise and reach the appropriate operating agencies to effect solutions. When a problem arises, the staff creates a file, gathers data from the appropriate agencies, determines who should be involved and, if it involves more than one agency, those agencies are brought together to plan the solution. The result has often been the creation of a joint task force to solve problems.

There is feedback from the Council staff to the Governor's Office on problems and progress towards solutions. Whether or not this feedback is converted into proposals for future change which can become grist for the planning mill is a decision which rests with the Governor and his immediate staff. As for effects on the operating agencies, there is no information about any lasting results. However, the Council staff has only been operating for about four years and evaluation is difficult.

At the operating level, there is a good deal of *ad hoc* coordination among bureaus and divisions of several agencies. Some of this is the usual one agency supervising another kind of activity which has little, if any, connection with planning. For example, the Department of Health must certify approval of all proposed building sites and has the power to close schools not meeting health standards. More interesting examples are manpower training and Head Start programs operated by the Departments of Community Affairs, Labor and Industry and projects in the Appalachia Region operated through the Department of Commerce. A new development is a federal-regional 4C committee (Community Coordination of Child Care) in the Department of Public Welfare. It involves eight state agencies including Education but the proposal itself was written by people in Public Welfare and Education. The fact that it is not fully an interdepartmental committee has been disconcerting to some people, reflecting older agency jealousness which often plagues state bureaucracies. The people in Education have some hope, however, that the 4C committee will help their relationships with the Department of Public Welfare. That Department operates schools for the handicapped but does not coordinate this work with the special education section in the Department of Education. This has been a sore point between the two agencies for a number of years.

Relations With the Governor's Office and the General Assembly

The broad program for educational change in Pennsylvania is developed from the Governor's platform and put into the form of legislation. This is one major input. A second input is situational; that is, when a problem arises

in education which has to be dealt with. A third consideration is the matter of budget, i.e., how much can we stand to spend politically. Other than these sources and considerations, there are items which come up from the Department of Education; that is, departmentally initiated requests to make certain changes in the set-up for education in Pennsylvania. If they can pass the budget test and are not in conflict with the Governor's program, the bills are drawn and put forward. They may or may not carry the endorsement of the Governor's Office. The Governor's Assistant Secretary for Legislation is the screen for all such bills.

Generally, the legislative representatives of the several agencies meet with the Assistant Secretary each week that the General Assembly is in session to look at the bills on calendar, to share thoughts and ideas about them, and find out what the Governor's intentions are. These discussions range from the political impact of a formula change down to why a particular bill has been placed under a department's initiation category rather than in the Governor's program category.

The Department's Office of Legislative Service is the focal point for input on proposed legislation. Education is the only state operating agency with a full-time legislative liaison person. Not only does he attend the sessions held by the Governor's Assistant Secretary but he also works with the Education, Appropriation, and Finance Committees in the Senate and House of Representatives. The relationships are cordial and have been developed over a long period of time. A major factor has been the ability of the Department Office of Legislative Services to provide legislative committees with information.

There is a certain thinness to the legislative operation on the part of both the agency and the General Assembly. Neither has the resources at its disposal to conduct comprehensive studies of educational problems and develop sweeping programs for change by statute. Yet, the redistricting bills of 1963 and 1965 as well as the creation of the intermediate districts in 1970 are sound, progressive legislation. They were well thought out measures with vast implications for planning in education. In the final *denouement*, however, educational leadership for both measures had a strong element of political pressure added by the Governor's Office, according to some sources. Given the Pennsylvania situation, it may have been entirely appropriate.

Relationships With the Educational Interest Groups

Most of the relationships which the education organizations have with the Department of Education center on the Office of Legislative Services. They are strictly informal relationships and have centered, in recent times, on the creation of the intermediate districts and a public employees relations act. An immediate crisis in 1970 was the $77 million cut in aid to local districts contained in the Governor's budget. This issue was, of course, related to Governor Raymond Shafer's attempt to have the legislature establish an income tax and bring about a general reorganization of the state tax structure.*

The education organizations have dissolved their coalition as of 1970. Their organization, the Joint Action Committee, was composed of the State School Boards Association, the Pennsylvania State Education Association (PSEA) and the Pennsylvania Congress of Parents and Teachers. Although the issue which finally broke the coalition was the public employees relations proposals, the group was never very united. While all groups generally supported funding measures in the legislature, they could not keep disagreements on other issues

*Pennsylvania adapted its first income tax, a flat-rate 3.5 %, in 1971, under a new governor, Milton Shapp.

out of the group and out of the public eye. The stand of the Education Association on a right to strike proviso in the proposal has also contributed to a division within its own ranks. A relatively large number of school administrators have left the organization and set up a separate group for chief school officers.

The PSEA will undoubtedly emerge as the single strongest education interest group in the near future. Beyond gaining the right to negotiate their employment conditions, teachers would like to obtain a professional board for teacher licensing and upgrading of certification requirements. A Professional Standards Committee has been created by the State Board of Education after some lobbying by the Association. It is now in the process of comparing notes with the Department as to how the latter two objectives will be implemented.

While the interests of the PSEA have implications for planning in the Department of Education, it appears that their major cooperative efforts will continue to be in the area of legislation. The Association is under a great deal of pressure from its members to attain some immediate objectives which bear on teacher employment. The emergence of PSEA as the single strongest education interest group will not have impact in planning *per se* for at least a decade. The *implications* of its interests are, however, profound.

Summary

The Department of Education in Pennsylvania has relatively few opportunities to exert leadership in education in comprehensive statewide planning. There are relatively few points of access in other agencies open to them at this time. The opportunities which are there in the development of PPBS and with the State Planning Board are being utilized. The objectives and measures for education required in the new PPB system are a case in point.

Other horizontal planning relationships at the state level seem very tenuous. This is apparently attributable to two factors: (1) age-old jealousies between agencies and (2) a lack of internal coordination necessary to keep external relationships going. (This may be traceable to a lack of sufficient personnel for planning and coordination.) This kind of situation makes an agency such as the staff of the Council for Human Services and essential crack-filler. It must be said, however, that in the long-range planning area there has not really been a mandate from the Governor's Office through the State Planning Board to bring about full coordination for statewide planning.

The processes for conducting the relationships between the Department and the Governor's Office and General Assembly are geared to the Governor's role in the legislative process. The Office of Legislative Services in the Department is very thinly staffed and operates largely on good interpersonal relationships. Yet, it has apparently been very effective in a number of instances, helping to obtain legislation beneficial for educational progress.

The major problem facing the Department as it improves its own planning capacity will be to find better points of access to other departments and agencies. Encouraging them to develop cooperative planning activities is itself a leadership role.

Section Six

EMERGING NEEDS AND ALTERNATIVES IN PLANNING RELATIONSHIPS

Statewide comprehensive planning appears to be developing as an administrative function of state governments. The concept has barely taken hold but has great potential for becoming a key activity of executive branch. The drive for greater effectiveness in the management of state affairs is the force which will bring this about. Many state planning agencies have already been reorganized and now function as staff agencies to the governors. Their scope has been broadened from physical planning to the larger interrelated social, economic, and resource planning frame. Given the analytical tools such as PPBS and MIS, they are building capacities for bringing about and monitoring interagency planning coordination.

State education agencies, responsible for education activities in each state, have a leadership role to play in this planning. It is imperative for them to develop this role not only in vertical planning which reaches down into local school districts but also in horizontal planning which reaches out to other agencies. Exactly how each state education agency will accomplish this will depend on the structural context in which it operates. The sections which follow offer some alternatives derived from selected reading and directed inquiries in several states.

STATE PLANNING AGENCIES AND THE STATE EDUCATION AGENCY

The responsibility for education which rests with the state education agency is recognized by planning offices. It is, however, a *de facto* recognition. In functional planning, some of these responsibilities may be shifted to other agencies or shared by several. It is the administrative task of planning agencies to bring about the best combination of resources in solving planning problems.

The explication of objectives for education, defining the state education agency's responsibilities, will be of great help to the planning agency. The education agency should establish liaison with the planning agency through a task group from its own planning units to examine and clarify these objectives. In doing so, they can move to meet the level of specificity necessary to planners. There are advantages to be gained in the mutual development of people thinking in the planning mode. Feedback from such activities into the education agency will aid its units in separating operating imperatives from planning necessities. At the same time, points of access within both agencies are opened and utilized. Similar exchanges at the policy level are an implied concomitant activity.

Data exchange is another important facet. The building of data banks for education is essential. However, these systems must be articulated with centralized systems such as MIS. The education agency would gain many advantages in developing its data system in a manner which utilizes outputs from other agencies, especially the planning agency. Manpower facts for the state are a case in point. Conversion of an existing system may be more expensive than building in the compatibility at the start. Over the long range, however, there would be savings through the avoidance of duplication in data collection and storage.

In its vertical planning activities, the state education agency should encourage local education units to create similar points of access for horizontal planning. Regional planning arrangements of planning agencies can make resources available at the local level. Intermediate districts, covering areas comparable to the planning regions, may be ideal units for consolidating joint activities of many agencies. As a meeting ground, they provide certain psychological advantages such as the avoidance fears about central agency domination of local affairs. There is a disadvantage, however, in the uneveness of local unit strength. Weak units will not have sufficient depth in personnel and other resources to participate fully. Adjustments may be made through providing consultant services from the state agency.

OTHER STATE AGENCIES AND THE STATE EDUCATION AGENCY

Horizontal planning across the several state agencies is a necessity. Interagency coordination at the top policy level, based in programmatic considerations rather than static units, can bring more resources to bear on attaining the desired objective. The use of interagency committees and task groups to share concerns and ideas provides a beginning. The advantages of open discussion and joint decisions are many. The results, however, need to be made known at the operating level if the decisions are to be implemented. Greater use of interagency task forces and personnel exchanges would aid in getting the work done. The advantages come in matching talents to the tasks.

One hindering aspect in state agency relationships seems to be the rules which require one agency to watch-dog another, e.g., inspection of school construction prior to the payment of building aid. These regulatory functions interfere with the development of cooperation in planning. They consume time and resources as well as provide the basis for animosities. This type of relationship should be removed from any agency units which are expected to develop planning relationships.

Federal programs seem to be a poor device for bringing about planning coordination in the long run. Federal monies create a dependency need which is not supportive of continuous relationships. When the money dries up so does the relationship. The efforts of state planning agencies to channel federal program aid into meeting state objectives are a step in the right direction. The policy has the advantage of retaining state administrative control over agency coordination by giving some directions as to how the agencies will act. The disadvantage is that some federal programs may not be utilized by the state. This can have political repercussions for elected officials.

THE LEGISLATURE, THE GOVERNOR'S OFFICE AND THE STATE EDUCATION AGENCY

The political inputs for the planning base originate in the Governor's Office. They are modified by the actions of the Legislature both in the political and financial aspects. There is a role here for the state education board and its executive officer in clarifying the educational objectives and needs for the state. The purpose of this is to improve the meshing of the two sets of objectives, the political and the educational. At the policy level, the education agency must be able to interpret resultant state objectives in a manner which will permit planning to begin. They must also guard against plans becoming policy without their review and approval.

There are several advantages to maintaining these distinctions. First, they aid decision making by clarifying short term imperatives vs. desired long range developments. This is especially helpful in drawing up an annual legislative program for education. Second, they keep political embarrassments to a minimum. Elected officials do not appreciate internal lobbying for this plan or that. A good point to remember, according to one legislator, is that planners don't have to run for office. Third, they keep planning in the proper perspective as anticipation and preparation for change. Thus, plans do not become vested interests and planning remains a useful tool.

The necessary separation of legislative activity from the planning activity flows from these ideas. Legislative liaison by the education agency is a distinctly different task from planning. Eventually the implementation of plans may require legislative action. When this is necessary, the planners leave the field to the state board, the chief state school officer and his legislative representative. Plans, of course, are a guide to the content of needed legislation.

There are alternatives to the use of a legislative liaison office. One of these is the legislative council concept where legislators, agency officials and laymen meet to review the requirements for education for a given budget period or longer time span. This type of activity should not be confused with planning *per se*. The planning comes earlier and forms one input to the council deliberations. Essentially the council is a legislative planning group constituted to implement change through proposing legislative action. It has the advantage of some built-in consensus with the legislature as well as some insights into the political climate of the state. The disadvantage which will haunt education officials is that these councils quickly become the planning group for education if the state agency has not developed a strong planning component of its own.

Supplying data to legislative committees and legislators is an essential task for education agencies. The data system of the agency must, of course, have the capability for rapid retrieval for all users. Data supplied to the legislature often needs further work-up after it comes off of the computer. It also may need a review for policy implications before transmittal. One unit in the agency, possibly the legislative services unit, should have the staff and the authority to carry out this responsibility. As the legislature gains in staff capacity, the education agency should make it a point to sharpen its services and ascertain the specific continuing needs of the legislative staff agency. A cooperative relationship here would be extremely useful and pay off in improved policy control, reducing unwarranted legislative attacks.

The governor's office is key in the state's planning operations. The interlocking control of planning through the planning agency and the budget division brings the decision making task to the governor's desk. The liaison with his office, noted above, is essential. There are several alternatives here but the mode of maintaining contact will vary with the way in which the executive branch is organized. In a cabinet system, the agency heads are usually consulted and informed as the governor's program is made up. In day to day operations his counsels or program advisors may be the contact point. Counterpart personnel in the education agency can provie a useful

addition, acting as a sort of ombudsmen to cut the lag time in supplying data and opinions to the governor's office. The reduction of the dinosaur image of state education agencies through this type of action will be an aid to improved relationships.

THE EDUCATIONAL INTEREST GROUPS AND THE STATE EDUCATION AGENCY

No real planning relationship seems to be observable between the interest groups and the agencies. Teacher organizations and school board groups may be too polarized over teacher negotiations and other issues at this time. The real proble for the education agency is how to ameliorate these disputes when the factions begin to accuse the agency of playing favorites or blocking their efforts in the legislature.

In the long run, however, there is a planning need involved here. The future organization of the public schools may look very different from what it is now when the negotiations concept becomes fully employed. The reward system for teachers is changing, not only in dollars but in such features as sabbatical leaves, exchanges and status. How the education agency moves to keep abreast of these changes and forecast their impact is an important problem.

One alternative seems to be establishing relationships with the executive offices of teachers associations and school board groups for the purpose of exchanging ideas. This is a delicate move for some organizations are reluctant to reveal anything which may tip their hand about their plans. Another helpful relationship would be with the research offices of these groups. Data exchange could be useful to both.

SUMMARY

The real impetus for achieving a leadership role in interagency planning relationships rests with the state education agency. It must build the capacity for planning and back it with the willingness to cooperate.

One of the earliest tasks is the defining of educational objectives. Other agencies seem to have a difficult time determining where education wants to go and what it wants to do. These objectives may be explicated by the education agency alone but it does seem more wise to work with others on this task.

The creation of an internal planning capacity is imperative. There are growing pressures in state government to increase planning activities. In the same vein, there is growing interest in the coordination of planning across the several state agencies. The best strategy seems to be the development of a system for vertical planning. This brings needed experience in planning at the same time as it is contributing to the strength of education in the state. As the planning system is developed vertically, points of access for horizontal planning should be built in at all operating levels. The present interagency relationships of education seem sufficient in many cases to form the nucleus for coordination in planning. These relationships should become more program-based than at present for maximum success.

Data systems are a vital component in planning work. They are expensive. The costs, however, are well worth it for the benefits derived from an efficient system. Data provides base lines for planning future action. Data aids in evaluating planning results and, ultimately, policy decisions. Data, quickly supplied, is appreciated by legislators. Data exchange seems to aid interagency relationships. If the education agency is interested in developing points of access, it will build its data system with some consideration of the needs of others to know what education is doing.

Finally, there is the requisite to retain the clear distinction between policy, planning and implementation. Planners do not make policy nor do they implement it. The organization of the agency for planning must be such that the separation is maintained but still coordinated through contact and communication at appropriate points.

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